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PATENT

Attorney Docket No. 39878-0021

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application

**PATENT APPLICATION**

Inventor(s): Kaplan

Art Unit: 2633

Application No.: 10/613,772

Examiner: not assigned

Filed: 07/02/2003

Title Electro-optical integrated transmitter chip for  
arbitrary quadrature modulation of optical signals**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Listed below or on an attached Form PTO-1449 is information known to applicant(s). A copy of each listed publication and U.S. and foreign patent, except for pending U.S. applications, is being submitted herewith, along with a concise explanation of information in a foreign language, if any, pursuant to 37 C.F.R. §1.97-1.98.

Applicants respectfully request that the listed information be considered by the Examiner and be made of record in the above-identified application. If form PTO-1449 is enclosed, the Examiner is requested to initial and return it in accordance with MPEP §609.

This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in §1.56.

☒ This statement qualifies under 37 C.F.R. §1.97, subsection (b) because (check all that apply):

☐ (1) It is being filed within 3 months of the application filing date and is other than a continued prosecution application under § 1.53(d)

-- OR --

☐ (2) It is being filed within 3 months of entry of a national stage

-- OR --

☒ (3) It is being filed before the mail date of the first Office Action on the merits

-- OR --

☐ (4) It is being filed before the mailing of a first Office Action after the filing of a request for continued examination under § 1.114.

☐ 37 C.F.R. §1.97(c). If this statement is being filed after the latest of: (1) three months beyond the filing date of a national application; (2) three months beyond the date of entry of the national stage as set forth in §1.491 in an international application; or (3) the mailing date of a first Office action on the merits, but before the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, then:

☐ a certification as specified in §1.97(e) is provided below; or

☐ a fee of \$180.00 as set forth in §1.17(p) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.

☐ 37 C.F.R. §1.97(d). If this statement is being filed after the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, but before payment of the issue fee, then:

A. a certification as specified in §1.97(e) is completed below; and

B. a petition under 37 C.F.R. §1.97(d) requesting consideration of this statement is submitted herewith; and

C. a fee of \$130.00 as set forth in §1.17(i)(1) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.

☒ **Fee Authorization.** The Commissioner is hereby authorized to charge the above-referenced fees of \$0.00 and charge any additional fees or credit any overpayment associated with this communication to Deposit Account No. 08-1641 (Docket No. 39878-0021).

Respectfully submitted,

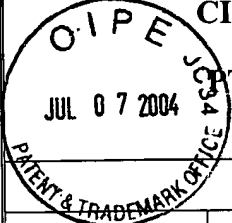
HELLER EHRMAN WHITE & MCAULIFFE LLP

Dated: 7/1/04

By: Paul Davis

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<b>INFORMATION DISCLOSURE CITATION</b>  <b>PTO-1449</b>			ATTY. DOCKET NO. 39878-0021		SERIAL NO. 10/613,772		
			APPLICANT Kaplan				
			FILING DATE 07/02/2003		GROUP 2633		
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER'S INITIALS	PATENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE	
	5,161,206	11/3/92	Djupsjöbacka	385	2		
	5,222,103	6/22/93	Gross	378	54		
	5,416,859	5/16/95	Burns, et al.	385	3		
	6,476,952	11/5/02	Snawerdt	359	173		
	2003/0007216	1/9/03	Chraplyvy et al.	359	161		
	2003/00043437	3/6/03	Stough, et al.	359	173		
	2003/00090768	5/15/03	Liu, et al.	359	183		
	2001/0007601	7/12/01	Kondo et al.	385	2		
<b>FOREIGN PATENT DOCUMENTS</b>							
EXAMINER'S INITIALS	PATENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	GB2289812	10/3/94	Great Britain			<input type="checkbox"/>	<input type="checkbox"/>
						<input type="checkbox"/>	<input type="checkbox"/>
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>							
	G. Nicholson, "Optical Source linewidth criteria for heterodyne communication systems with PSK modulation", Optical and Quantum Electronics, Vol. 17, pp. 399-410, 1985.						
	R.A. Griffin, et al., "10 Gb/s optical differential quadrature phase shift key (DQPSK) transmission using GaAs/AlGaAs integration", Proceedings OFC-2002, March 2002, Anaheim, CA, post-deadline paper.						
	G. Kazovsky, et al, "ASK and FSK coherent lightwave systems: a simplified approximate analysis", IEEE Journal of Lightwave Technology, Vol. 8, No. 3, pp. 338-353, 1990.						
	S. Shimotsu, et al., "Single Side-Band Modulation Performance of LiNbO3 Integrated Modulator Consisting of Four-Phase Modulator Waveguides". IEEE Photon. Tech. Letters, Vol. 13, No. 4, pp. 365-366, 2001.						
EXAMINER			DATE CONSIDERED				

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.